INSTRUCTIONS FOR PART I – Page 1

This form Page 1 of this form is required as a face sheet for applications submitted for Federal assistance from the Public Telecommunications Facilities Program. It will be used by Federal agencies to obtain applicant certification that States that have established a review and comment procedure in response to Executive Order 12372 and have selected the Program to be included in their process have been given an opportunity to review the applicant's submission.

1. **Legal name, organizational unit and full address of applicant.** Please enter a street address since a P.O. Box number cannot be used for overnight delivery.

   Enter the call letters and frequency (or channel number, as appropriate) of the public radio or television station that is the subject of this application. If the application is for a repeater, a translator, or LPTV, the main station should be entered here. If the facility has no call letters, please enter "N/A"

   PTFP will include the call letters in the mailing of all correspondence regarding this application.

2. **Enter Employer Identification Number** (EIN) assigned by the Internal Revenue Service. The EIN will be redacted prior to disclosure to the public.

3. **DUNS Number.** Enter the DUNS number for your organization as assigned by Dun and Bradstreet, Inc.

4. **Administrative contact information.** Enter name, title, telephone number, fax number and e-mail address of the person PTFP should contact on *administrative* matters related to this application.

5. **Engineering contact information.** Enter the information for the person PTFP should contact on *engineering* matters related to this application.

6. **Reactivation.** If this is a reactivation of an application deferred from last year's PTFP grant cycle; enter "Y" in item 6a and last year's application number in 6b.

7. **Federal Communications Commission (FCC)**. If construction and/or operation of the proposed facility requires a new FCC authorization, enter "Y" in item 7 and then complete item 22 on page 2.

8. **Priority/Category.** Enter the Priority or Category listed in §2301.4 of the PTFP Rules under which you request the application be reviewed.

9. **Classify the project.** Applications can be either construction or planning, *but not both.* PTFP uses the term "construction" to mean the purchase of telecommunications equipment rather than for planning a telecommunications project.

   Applications may combine elements of **radio** and **television** but rarely combine **broadcast** and **non-broadcast.** The PTFP Application Kit contains suggestions for structuring multi-project applications.

10. **Length of project.** Enter how many months you anticipate needing for completion of the proposed project. Use six month increments (e.g., *12*, *18*, *24*).

11. **Describe type of project.** Check the ONE line that best describes the type of project in your application.

    Please indicate in the column you checked (A, B, C or D) the number of people that will benefit from funding.

    Number of people served by the project.

    FIRST service added: If the project will result in an increase in the number of people receiving your services, please explain and document the increase in an Exhibit. Population to be served in an area with no similar broadcast service (*e.g.*, first public radio service could be a translator in an area with public television but without public radio service).

    CURRENTLY served by Applicant: Indicate the population within your station's coverage area (for broadcast projects) or participating in your public telecommunications projects (for nonbroadcast applicants). based on the population covered by the station in the application (TV Grade B contour or 1 mv/m contour for radio).

    Digital TV or radio conversion applicants should indicate the population currently served by their analog station(s) if they have not begun digital broadcasts.

    ADDED SERVICE to those covered by others: Population to be served by the project that already receives a similar (radio or television) public broadcasting service.

    NEW service (Distance learning/nonbroadcast): Projected number of participants in new service.

12. **Applicant Congressional District.** Enter the number of the Congressional District that includes the applicant's headquarters; *this can be only one number.*

13. **All Congressional Districts**. Enter the numbers of ***all*** Congressional Districts in ***all states*** that would be reached by the proposed project. If a state has only one Congressional District, enter "1".

14. **Estimated Funding.** These three lines summarize your request for funding.

    Line 14a. For construction project applications, line 14a cannot exceed 75% of the total on line 14c (even by 25¢).

    Line 14b. Applicant's share, same as line B2, page 3.

    Line 14c may include only ***eligible*** costs and must be the same as line A7 of the budget form on page 3; it should not include the costs listed B3 Ineligible Costs on page 3.

    On line 14d, show the *percentage* of the eligible total project costs (line 14c) requested from the Federal government.

15. **Executive Order 12372.** Indicate whether the applicant is subject to review under Executive Order 12372 and enter date the application was sent to the state office.

16. **Federal Debt.** This question applies to the organization, not the person who signs as the authorized representative. Categories of debt include, but are not limited to, delinquent audit related debts, -loans, and Federal taxes.

17. **Certification and Signature.** Application must be signed by an authorized representative of the applicant organization. A copy of its governing body's authorization for the individual to sign this application must be on file in the applicant's office and available for inspection.

APPLICATION FOR PTFP FUNDS

Public Telecommunications Facilities Program

Check here if Revised Form ☐

OMB Approval 0660-0003

NTIA/Department of Commerce/Washington DC 20230
CFDA 11.550

For PTFP Use

APPLICATION PART I

1. APPLICANT

2. Employer ID # (EIN) ____

Legal Name ____

3. DUNS # ____

Street Address (line 1) ____

Address (line 2 if required) ____

Main Station Call Letters ____ Radio ____ MHz ____ TV ____ Channel

City ____ State ____ County ____ Zip ____

4**. Administrative Contact** E-mail ____

Mr., Ms., Dr. ____ First Name ____ M. I. ____ Last Name ____ Jr. etc ____ Title ____

Phone # ____ Fax # ( ) ____

5. Engineering Contact

Full Name ____

Title ____

Engineer Phone ( ) ____

E-mail ____

PROJECT INFORMATION

6a. Enter "Y" if Reactivation ____

6b. Old File # ____

7. Enter "Y" if new FCC authorizations are required; see #22. ____

8. Enter the Priority or Category under which you request the application be reviewed. ____

9. Enter letter(s) to classify project

(P) lanning or (C) onstruction ____ (R)adio or (T)V or (RT) for both ____ (B)roadcast or (N)onbroadcast or (BN) for both ____

10. Length of Project (# of months) ____

11. Check ONE line which best describes your project and enter the number of persons that the project will benefit.

Enter population in the appropriate column	______ NEW BROADCAST facility; repeater, translator.	______REPLACE or augment BROADCAST EQUIPMENT	_____ DIGITAL conversion of public radio or TV station	____NONBROADCAST activation or expansion
Population Currently Served by station				
First Service added by NEW proposed facility				
ADDED SERVICE to those covered by others				

12. Single Congressional District of Applicant ____

13. Other Cong. districts served by project (e.g., PA 1-3, NY 4, 5-9)

14. ESTIMATED FUNDING (whole dollars

a. Federal Request $ ____

b. Applicant Share $ ____

c. TOTAL $ ____

d. Fed. % of eligible costs ____ %

15. Is application subject to review by Executive Order 12372?

____ YES This application was made available to the State EO 12372 process for review on ____

____ NO _____Program is not covered by EO 12372

_____or Program has not been selected by State for review

16. Is Applicant delinquent on any Federal Debt?

____
Enter Yes or No
If YES, attach explanation.

17. CERTIFICATION BY AUTHORIZED REPRESENTATIVE

To the best of my knowledge and belief, all data in this application are true and correct. The document has been duly authorized by the governing board of the applicant and the applicant will comply with the attached assurance and the PTFP Rules if the assistance is awarded.

Phone # ( ) ____

Mr., Ms., Dr. ____ First Name ____ M. I. ____ Last Name ____ Jr. etc ____ Title ____

Signature of authorized representative ____ Date signed ____

INSTRUCTIONS FOR PART I - Page 2

This Form **This form provides additional information describing the application.**

18. **Summary of Application.** Summarize the purpose and objectives of this application in one or two sentences; e.g.

"Anytown University seeks funding assistance to replace the transmitter, antenna, and transmission line of public radio station WAUX."

☞**Supporting arguments and justifications should NOT be given here.**☜

19. **Type of Applicant.** Enter the appropriate letter that describes your organization in the space provided.

20. **Station Operations.** Indicate the number of full-time paid employees, part-time paid employees, and volunteers currently on the staff of the organizational unit for which the project is intended.

Show also the total hours worked by an average staff member in each category in an average week. Then show comparable numbers projected for when the new facilities are in operation. If this is a planning grant application *for a new facility,* mark "NA".

Indicate the current operating budget, if any, and projected budget for the first year of operation following construction of the proposed facilities. If this is a planning grant application *for a new facility,* mark "NA" in the table.

21. **Public Broadcasting Affiliations.** Indicate if your organization currently receives, or anticipates receiving, financial assistance from the Corporation for Public Broadcasting (CPB).

Indicate whether the facility is or will become a member of the public broadcasting organizations noted, or any others (please specify).

Please note: In order to receive a PTFP grant your organization does NOT have to receive financial assistance from CPB or belong to one or more public broadcasting organizations.

22. **FCC Authorizations.** If a new FCC authorization is required to complete this project, provide the following information for each approval required.

1) FCC Community of license

2) Channel #

(e.g." 89.9" for FM, "9" for TV, "A1-A4" for ITFS, "Ku-band" for satellite, etc.)

3) FCC File number (e.g. BPED040898AB)

4) Common name used when referencing the transmission site in other parts of the application (e.g. "Northwest National Forest", "Old McDonald Farm", "Central Broadcasting").

5) Indicate by placing a "Y" or "N" in the appropriate space whether the applicant owns or leases the transmission site. If site rights are pending, place a "P" in the appropriate space.

23. **Other Sources of Funding.** Indicate whether funding to support this project has been or will be sought from any other Federal program. or the Corporation for Public Broadcasting.

This support could include funding to support programming or staff needed to operate the equipment as well as funding for the same equipment requested from PTFP, or funding for other equipment integral for the operation of the PTFP requested equipment.

Please provide information about funding from other Federal programs or CPB in the Remarks section at the bottom of the page or, if necessary, on a page attached to page 2 of the form.

24. **Similar Public Telecommunications Facilities within Project Service Area.** List all acceptable signals of other public telecommunications facilities of the same type as is the subject of this application.

(You are **not** required to provide exact contours of other stations, only to list those stations which can be viewed or heard within the service area of the proposed project.)

TV — If this application is for a television project, list all public TV stations providing a Grade B signal within the project's service area.

Radio — If this application is for a radio project, list all other public radio stations that provide a 1 mv/m signal within the project's service area.

ITFS — If this application is for an ITFS project, list all other ITFS facilities that serve the project's service area.

25. **Areas Affected by This Project.** List major geographical units affected by the project.

Remarks Use this space to continue items that do not otherwise fit in their allotted space.

If the space provided is not adequate for your project -- please continue your answers on plain paper attached after page 2

Public Telecommunications Facilities Program

NTIA/Department of Commerce/Washington DC 20230

OMB Approval
0660-0003

18. Summary of application (Summarize the purposes of the application in a few sentences.)

19. Types of Applicant (Enter appropriate letter in box)

A. State
B. County
C. Municipal
D. Township
E. Interstate
F. Intermunicipal
G. Special District
H. Independent School District
I. State Controlled Institution of Higher learning
J. Private University
K. Indian Tribe
L. Individual (NOTE: Not eligible for PTFP funding)
M. Non-profit
O. Other (specify)

20. Station Operations

	THIS YEAR		NEXT YEAR IF PROJECT FUNDED	
	Number	Hrs./Wk	Number	Hrs./Wk
Full-Time Staff				
Part-Time Staff				
Volunteers				
Operating Budget	$		$	

21. Public Broadcasting Affiliations

Check if nonbroadcast application and therefore Q. 20 Not Applicable

Enter "Y" if applicant is currently CPB qualified

If applicant is NOT currently CPB qualified, enter "Y" if qualification is expected.

Date of expected qualification

Membership in national public broadcasting organizations. Enter "Y" as appropriate.

	PBS	NPR	NFCB	PRI	Other	Other
This year						
Next year						

22. New FCC Authorizations and/or New Sites required for this project (continue in Remarks section below if necessary or on another page).

Proposed Community of license	Channel #	FCC File #	Site Name	Owned	Leased

23. Yes No (circle one) Have you applied to, intend to apply to, or received funds from, the Corporation for Public Broadcasting (CPB) or another Federal program for this project or a related project?
Please provide information regarding funds from CPB or other Federal agencies in the Remarks section below or on another page.

24. List all public radio, TV stations or ITFS facilities which provide a similar type signal to the proposed service area (1 MV for FM, Grade B for TV).

City	Call Letters

City	Call Letters

City	Call Letters

25, Areas affected by this Project (Cities, Counties, States, Etc.)

REMARKS (continuation of any items from page 1 or this page-- continue on plain paper attached to this page if necessary)

INSTRUCTIONS FOR
PART II – BUDGET INFORMATION) CONSTRUCTION GRANT APPLICANTS ONLY

The Budget Form: Budget information is required from all applicants. There are different forms for Construction Applications (for equipment purchase projects) and Planning Applications.

The Budget Information Form on page 3 should be completed only by applicants for Construction Projects. There is a separate Budget form for planning projects on page 5.

We suggest you first complete the Equipment pages (page 4), then transfer the totals in each category to this page.

SECTION A: PROJECT EXPENSES

Equipment Totals by Category

Lines A1-A4. Total all of the equipment pages (page 4) submitted for each category of equipment. Include installations costs/labor within a category.

Place the total for each category of equipment on the appropriate line for that category.

Line A5. Enter the total of lines A1-A4.

Line A6. Eligible Non-equipment Costs

Non-equipment costs include *Outside Services* and *Pre-operational Expenses*.

Refer to the current regulations or list of eligible costs supplied by PTFP regarding the limited non-equipment costs that may be requested as part of the proposed project.

Outside Services. List all outside services, such as audit costs, for which Federal funding is requested for this project **with the exception of installation labor**. Installation labor, if any, should be included on the equipment pages.

For each cost requested, describe the service to be performed, the name of the person/firm (if known), the cost basis (e.g. $100/hr, $800/day), the number of units (e.g. 125 hours). The Cost should be the product of the cost basis times the number of units.

Item	Service	Cost basis	Number of units	Cost
John Smith, Engineer	Conduct site evaluations, perform engineering studies, meet with station Board and prepare FCC applications	$100 per hour	125 hours	$12,500

Pre-operational Expenses may be claimed only by applicants for the establishment of facilities or the extension of service areas.

> List all non-construction costs for which Federal funding is requested to support expenses incurred prior to commencing operations of a new facility or the expanded portion of an existing facility. Salaries of personnel employed by telecommunications entities now operating may **NOT** be included.

If line A6 is completed, attach pages which detail the requested costs.

NTIA regards its primary mandate to be funding the acquisition of equipment and only secondarily funding salaries, even when allowed by law. NTIA generally will not fund salary expenses, pre-application legal and engineering fees, or pre-operational expenses of new entities. Applicants wishing to demonstrate that "exceptional needs exist" should state their case with supporting documentation in the Program Narrative.

A7. Total Eligible Project Costs. Total the Equipment Cost shown on line A5 and Eligible Non-equipment Costs shown on line A6. Also, place this amount on page 1, line 14c.

SECTION B: PROJECT FUNDING

Line B1. Federal Share Requested (no more than 75% of Line A7, not even by 25 cents). Also, place this amount on page 1, line 14a.

> Applicants should review the Notice of Availability of Funds for NTIA's policy regarding the usual Federal level of participation in different types of projects.

Line B2. **Applicant Share** - subtract B1 from A7. Also, place this amount on page 1, line 14b.

Line B3. Ineligible Project Costs. List costs that are necessary to complete the project, but that are ineligible for PTFP funding. (For example, the cost of constructing or renovating a transmitter building to house a PTFP-requested transmitter). If necessary, provide details in an attachment to page 3.

Line B4. Total Applicant Funds. Total of lines B2 and B3.

Lines B5 -B9 Identify the proposed sources of funds for **both the local match (line B2) and to cover ineligible costs (line B3)**. Document the sources, as required, in an attachment.

Line B8 If you enter information on line B8 (Fair market value of donated equipment), please be sure to provide the documentation required in the instruction under "Donated Equipment" on page 3a.

PART II - BUDGET INFORMATION -- CONSTRUCTION GRANT APPLICANTS ONLY

A. PROJECT EXPENSES

(whole dollars only)

Equipment Totals by Category

A1. Total Category A – Dissemination $________________

A2. Total Category B – Origination $________________

A3. Total Category C – Interconnection $________________

A4. Total Category D – Test/Other $________________

A5. **Total Equipment** (A1-A4) $________________

A6. *Eligible Non-equipment Costs*
(Enter total here, attach pages with detail) $________________

A7. **Total Eligible Project Costs** $________________
(Add lines A5 and A6.)
(Place amount in line 14c, page 1)

B. PROJECT FUNDING

B1. **Federal Share Requested** $________________
(Not more than 75% of line A7)
(Place amount in line 14a, page 1)

B2. **Applicant Share** $________________
(Place amount in line 14b, page 1)

B3. *Ineligible Project Costs*
(Enter total here, provide details in an attachment.) $________________

B4. Total Applicant Funds (B2+B3) $________________

Sources of Applicant Funds on line B4

B5. Applicant's Operating Budget $________________

B6. Applicant's Capital Budget $________________

B7. Anticipated Grants or Appropriations $________________

B8. Fair market value of donated equipment $________________

B9. Other sources (Specify in an attachment)) $________________

INSTRUCTIONS: PART III) ELIGIBLE EQUIPMENT

(Required for Construction Grant Applicants Only)

Completing this Form

Before you complete this section, review PTFP's list of eligible and ineligible equipment and project costs.

Multiple sites. If the requested equipment will be placed at several sites, enter the equipment for each location on a separate page. Identify the location for this page on the top line.

Enter only one equipment category on a page. Arrange the equipment requested into the four categories described below.

Check the block at the top of the page to indicate the category of equipment requested on that page.

Categories of Equipment to be listed in Part III

A. Dissemination Equipment) Includes antennas, towers, transmitters, STLs, translators, cable/ITFS distribution systems, and equipment required for transmission of a broadcast signal or delivery of non-broadcast programing to the intended audience.

B. Origination Equipment) Includes equipment for production of television or radio programs, including items such as cameras, microphones, turntables, recorders, switching equipment, consoles, mixers, editing systems, signal processors, production lighting equipment, and other items necessary for production of broadcast-quality programing.

C. Interconnection Equipment) Includes microwave, satellite transmission or satellite reception equipment.

D. Test Equipment) Include test items necessary for good engineering practice *or* **Other eligible equipment**) Specify any other eligible equipment which cannot be classified under the other categories, such as specialized receivers used by handicapped groups (*i.e.,* sub-carrier [SCA] receivers, caption decoders, and similar equipment).

Make photocopies of the form and use as many pages as necessary to list all of the equipment categories requested. Retain a blank original in case PTFP requests revisions.

Identify all major items required for the project. Proposed acquisition of multiple items grouped together for one price must be categorized sufficiently to provide assurance that no ineligible items are included.

Enter requests on left side of page under: **Equipment Request**

In the column headed **Item**, place a general description of the equipment item in question; examples would be "studio cameras", "video production switcher", or "audio console."

In the column headed **Description**, place the manufacturer and model number of the item. (This information indicates only the level of quality of the item. After competitive bidding, different manufacturers and models are commonly purchased.)

The column headed Item **Cost** should include the total cost for that item..

Do not enter Non-equipment Costs or Ineligible Project Costs on this page. They should be included on the Budget page, p 3.

General Information

Ownership of equipment

Generally, equipment listed as part of the proposed project cannot be owned by the applicant, nor can any funds be *obligated* towards its purchase, before the PTFP closing date for the year the application is (or was) first submitted to PTFP. Inclusion of equipment purchased prior to the closing date will be considered on a case-by-case basis only when clear and compelling justification is provided to NTIA.

Obligation of funds

PTFP considers money to be obligated when the Applicant enters into any sort of binding commitment to spend the money. This means the formal acceptance of a bid offering or the issuance of a purchase order.

Applicants are not permitted to obligate any monies from the eventual Federal share of a grant's Total Project Cost before the project Award Period begins. (PTFP Award Periods usually begin about October 1 and are determined by the Office of Executive Assistance Management.)

If an applicant obligates more than the local match before a grant is formally awarded, an applicant faces two primary risks:

1. It may not be offered a grant award, or
2. Negotiations may reduce the amount of the total project cost, and if the applicant has obligated funds in excess of the negotiated local match, the Federal share will be correspondingly reduced.

Installation Costs

Installation costs should be listed separately on the two lines, "Contractor installation" or "Staff installation." With regard to *transmission* equipment, NTIA strongly favors the use of either manufacturer or professional contractor personnel and commonly funds these costs. On the other hand, NTIA will rarely support requests for installation costs for *studio* or *test* equipment, whether that installation is done by staff or contract employees. Such installation is normally of minimal difficulty and the installation costs should be absorbed in the recipient's normal operating budget. NTIA will take into account demonstrations of exceptional need for such installation support, or demonstration that substantially greater efficiency would result from the use of staff installation instead of contractor installation

If installation is to be done by the applicant's work force, direct cost estimates should be based on existing wage scales.

Donated Equipment

Items of donated equipment that are part of the proposed project should be listed within the proper categories along with items to be acquired with grant funds. Fill in the fair market value of donated items on the "cost" portion of the form. As noted above, applicants may take title to donated equipment prior to the closing date only upon presentation and acceptance by NTIA of clear and compelling justification.

If donated equipment is to be used for the local match, the application should include a certified appraisal from a qualified, independent engineer as to the age, fair market value, and remaining useful life of the donated items. In addition, the applicant must include a letter from the donor confirming the donation.

PART III — ELIGIBLE EQUIPMENT

Construction Applicants Only Check Category for **This Page** ______________________ (For multi-site projects, enter location where equipment will be placed)

Dissemination ☐ **Origination** ☐ **Interconnection** ☐ **Test/Other** ☐

EQUIPMENT REQUEST (including installation costs)				EQUIPMENT PURCHASED (including installation costs)		
Item	Description of Item	Quantity	Cost (whole dollars; include shipping)	Description of Item including Model #	Quantity	Cost (whole dollars; include shipping)
		Subtotal Equipment	$		**Subtotal Equipment**	$
Installation:: Contractor	$			Contractor Installation	$	
Installation: Staff	$			Staff Installation	$	
		Subtotal Installation	$		**Subtotal Installation**	$
		TOTAL CATEGORY	$		**TOTAL CATEGORY**	$

Top of Page When Submitting to PTFP

PART IV – BUDGET INFORMATION — PLANNING GRANT APPLICANTS ONLY	
PROJECT CLASS CATEGORIES	**BUDGET**
1. Personnel	$
2. Fringe Benefits	$
3. Travel	$
4. Equipment	$
5. Supplies	$
6. Contractual	$
7. Other - Specify:	$
8. Indirect Costs	
9. **Total Eligible Project Costs** (lines 1-8) Place amount in line 14c, page 1	$
10. **Federal Share Requested** Place amount in line 14a, page 1	$
11. **Applicant Share** (line 9 less line 10) Place amount in line 14b, page 1	$

INSTRUCTIONS FOR PART IV – BUDGET INFORMATION - PLANNING GRANT APPLICANTS

LINES 1 – 8:. All costs included in the proposed project should be broken down into the categories listed. Enter the amounts for each category on the appropriate line on the form

1. **Personnel**. List each employee, full-time equivalency, and payment.
2. **Fringe Benefits.** List fringe benefits and *method of calculating benefits*.
3. **Travel**. Break down travel into local and overnight, with projected areas of travel and costs.
4. **Equipment.** Equipment may include office equipment to support the planning function, but cannot include equipment to establish a telecommunications facility.
5. **Supplies.** List supplies projected to support the planning activity.
6. **Contractual**. List contractors, such as consultants, amount to be paid, and *basis for rate charged*.
7. **Other.** List any additional eligible expenses required to support the planning activity.
8. **Indirect costs.** Enter Indirect Costs charged to the project. Document the indirect rate in the Budget Narrative.

Budget Detail. You must also attach a budget detail that provides a line item breakdown of project costs within each budget category. See the following example, where each category is detailed by “Line Item”, “Federal Support,” Matching Support,” and “Total.”

Category	Line Item	Federal Support	Matching Support	Total
Contractual	Engineer to prepare FCC application	$10,000	$2,500	$12,500
	Attorney to prepare FCC application	$ 2,000	$2,000	$ 4 ,000
Contractual Subtotal		**$12,000**	**$4,500**	**$16,500**

Budget Narrative. You must attach a budget narrative that provides sufficient explanation of each budget category in order to establish the need for the funds in each category, and the basis for figures used and how they were calculated, per the following example:

Engineer	Conduct site evaluations, perform engineering studies, meet with station Board and prepare FCC applications	125 hours	$100 per hour	$12,500

PLANNING GRANT APPLICANTS SHOULD COMPLETE EXHIBIT A
and attach a discussion regarding the source of local funds

INSTRUCTIONS FOR PART V - PROGRAM NARRATIVE

ALL APPLICANTS : **You must prepare a narrative to address the six evaluation criteria contained in Section 2301.17 of the PTFP Rules. They are listed below.**

Your response to the first five (5) evaluation criteria (A-E) is limited to five (5) pages.

If more extensive discussion of any point in the narrative is necessary, you should make the main point in the narrative and clearly refer the reader to additional supporting information in an optional Exhibit.

CONSTRUCTION APPLICANTS: We suggest the narrative use the following format

1. **Executive Summary**. We suggest that the narrative for all applicants for Construction and Planning projects begin with an introduction which serves as an Executive Summary of the project. In a few sentences, summarize the project and include the project's location, area to be served, and the Priority (or other categories) described in §2301.4 of the PTFP Final Rules within which you wish the application to be considered.
2. The narrative should contain a clearly labeled and thorough response to each evaluation criterion. We suggest that the criteria be addressed in the following order (see §2301.17 for a complete discussion of each criterion):

A. **Applicant Qualifications:** Identify your organization and demonstrate its ability to complete the requested project; to operate and maintain the facility; and to provide services of professional quality.

B. **Project Objectives:** Clearly state the objectives of the project; indicate how the project fulfills the programmatic objective of the Priority selected; demonstrate that your organization has the ability to successfully complete the project within the proposed project period; and, if relevant, justify a Federal share that is greater than the presumed Federal share for your type of project as presented in the PTFP Notice announcing the grant cycle.

C. **Urgency:** You must fully justify funding the proposed project during this current grant cycle.

D. **Technical Qualifications:** Discuss why the eligible equipment is necessary to complete the project objectives and why the proposed costs reflect the most efficient use of Federal funds. (A complete technical discussion and related documentation should be placed in Exhibit C.)

E. **Financial Qualifications:** You should demonstrate your organization's ability to raise non-Federal funds for (1) the local match for this application, (2) other project costs which are ineligible for Federal funds but required to complete the project, and (3) to ensure financial support for long term operation of the facility.

F. **Involvement of Women and Minorities:** Please see page 7(a) for further information on this criterion. *Discussion of this criterion is not subject to the five page limitation*.

PLANNING APPLICANTS: In addition to the six items (A-F) listed above

(substitute Planning Qualifications for Technical) **PLANNING APPLICANTS SHOULD ALSO ADDRESS:**

A. **Applicant Qualifications:** Describe the current interests and purposes of your organization and their relevance to the proposed planning. Demonstrate that the applicant has the ability to successfully complete the project within the proposed project period.

B. **Project Objectives:** State the objectives of the project, and indicate how the proposed project fulfills one or more of the projects described in Section 2301.4 of the PTFP Final Rules. Describe the potential resources of your community that could be mobilized to provide public telecommunications services and what efforts to date have been made to mobilize them, including all planning and needs assessments already accomplished. Briefly describe what public telecommunications services are already available in the proposed project service area. Discuss the range of alternative technologies that might be pertinent to the proposed planning project.

C. **Urgency:** Demonstrate the need and urgency for the public telecommunication services in question,

D. **Planning Qualifications:** Discuss the planning process, costs, proposed planners and their qualifications. As an attachment immediately following the Narrative, provide a TIMELINE and STEP-BY-STEP PROCEDURE. (Note -- this attachment is not subject to the five page limitation.) This attachment should consist of a procedural design that includes the significant projected accomplishments of the planning effort, along with the dates by which each accomplishment is to be completed. (Examples of such project benchmarks might include: the hiring of project personnel; the achievement of organizational and funding targets; the submission of FCC applications [if required]; and the submission of the final draft report and the completed final report.)

E. **Financial Qualifications:** Discuss the long-term financial plan and justify a local match of less than 25%, if requested.

Exhibit A - Financial Certification - ALL Applicants

This Form: The following certification should be signed by the official responsible for fiscal affairs.

I certify that ________________________________ ("the applicant") will have funds in the

amount of ______________________ to match a requested Federal award of _______________
(Enter Amount from line 14b of page 1 (Enter Amount from line 14a)

for a project with a total project cost of_________________________________.
(Enter Amount from line 14c of page 1)

I certify that the project will be completed within__________ months if an award is made.
(Enter # of months)

I certify that the local funds required for the project (check one)

________ are now in hand. ________ will be available no later than six months after an award is made.

I further certify that the applicant will have funds available to pay any construction costs for this project not covered by the grant and will have funds necessary to maintain and operate the facilities once constructed. (This paragraph is not applicable to applicants for planning grants.)

The applicant has taken into account all non-Federal sources of financial support for this project and certifies that the non-Federal share stated by the applicant as being available is the maximum amount available from such sources.

Check A or B:

A:___ This is an initial application for funding. **I have attached a discussion which explains in detail how the applicant will raise the funds necessary** (1) to *match the requested Federal funds*, (2) *pay any ineligible costs identified in line B3* of the Budget Information page 3 required to complete the project, and (3) if an application for construction funding, how the applicant will have funds necessary to *maintain and operate the facilities* once the project is completed.

B:___ Check if this is a revised exhibit as the result of negotiations with PTFP. We agree to accept the Special Award Conditions discussed with PTFP and checked below:

___ FCC Authorizations ______Other ________________________

___ Site Rights ___ No Special Award Conditions discussed with PTFP.

____
(Signature)

____ _______________
(Title) (Date Signed)

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EXHIBIT B — INVENTORY

Construction Grant Applicants Only

This Form: Use this form to tell PTFP about other ***related*** equipment for ***this facility*** that is (1) owned, (2) on order as of the date of the application, or (3) authorized by a prior PTFP award but not yet ordered.

Related equipment refers to equipment similar to that requested in this application (*e.g.*, provide inventory of all existing VTRs, if VTRs are requested), or is closely associated with the requested equipment (*e.g.,* an inventory of all microwave that would feed a signal to a requested repeater station). DO NOT PROVIDE A FULL STATION INVENTORY.

This facility. Provide inventory information only of the facility (usually a station) that is the subject of this application, ***not*** the inventory of all the stations you operate. However, if the station that is the subject of this application is co-located with another station you operate, then you should provide the requested inventory information for ***both*** stations. The application should explain the relationship between the two stations regarding the sharing of equipment, studios, staffs, etc.

If you are applying for a digital radio or television project and requesting digital equipment to replace an existing analog capability, such as audio consoles or routing switchers, you should include the existing analog equipment on this form.

If you are applying for new broadcast facilities, you should indicate whether you have any equipment that will be associated or devoted to the proposed facility.

If you are applying for new distance learning facilities, you should include an inventory of any other similar facilities your institution operates, such as distance learning classrooms, satellite facilities, etc.

If you do not have applicable equipment, check box .... **NA** ☐

APPLICANT			PAGE OF PAGES	
LOCATION			DATE	
ITEM	MANUFACTURER	MODEL	QUANTITY	YEAR ACQUIRED

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Number multiple copies of this page, e.g. 7-1, 7-2, etc.)

DOCUMENTATION

ALL APPLICANTS MUST PROVIDE THE FOLLOWING

EVALUATION CRITERION:

INVOLVEMENT OF MINORITIES/WOMEN

(Part of Program Narrative)

In accordance with 392(f) of the Act, the Agency will give special consideration to applications that foster ownership of, operation of, and participation in public telecommunications entities by minorities and women. NTIA has not established any minimum minority or women participation requirements for special consideration in PTFP evaluations in order to carry out the objectives of the statute. Rather, NTIA believes that the Congressional intent can be achieved in a fair and flexible manner by taking into account all factual circumstances that might lead to special consideration.

The PTFP Rules, in 2301.5, provide the following clarifications about special consideration.

"Ownership and operation of" includes the holding of management and other positions in the entity, especially those concerned with programing decisions and day-to-day operation and management.

"Participation" may be shown by the entity's involvement of women and minorities in public telecommunications through its programming strategies as meeting the needs and interests of those groups

"Minorities" include American Indians or Alaska natives; Asian or Pacific Islanders; Hispanics; and Blacks, not of Hispanic Origin.

Employment of minorities or women is not the only way in which NTIA may assess whether an application promotes significant diversity in the ownership of, operation of, and participation in, public telecommunications entities by minorities and women. NTIA is also interested in outreach efforts, audience development, and programming strategies. One stated purpose of this program is to respond to the educational, cultural and related programming needs of diverse groups.

Applicants should provide a narrative (with supporting documentation when necessary) which documents the participation of women and minorities in the station's ownership and management, especially those concerned with programing decisions and day-to-day operation and management. In preparing their material, applicants should take care to clarify whether they are discussing women, minorities (minorities can be considered as a single group, but the predominant group should be identified as such), or a combination of women and minorities (where the predominant group/gender should be identified, and applicants should express whether they are discussing women or minorities in the case of an individual who is a female minority.)

EXHIBITS

The following items of documentation are required as indicated: **Please provide a Table of Contents of the exhibits included in the application**.

FINANCIAL CERTIFICATION

(Exhibit A, page 6) **ALL Applicants**

Applicants must attach a discussion to this form which explains in detail how they will raise the funds necessary to match the requested Federal funds and pay any ineligible costs.

Applicants for construction projects must also explain how they will have the funds necessary to operate the facilities once constructed.

INVENTORY

(Exhibit B, page 7) **ALL CONSTRUCTION Applicants**

Construction grant applicants must include an inventory per the instructions found on page 7.

EQUIPMENT JUSTIFICATION

(Exhibit C) ALL CONSTRUCTION Applicants

Applicants to establish a facility, expand a facility or convert to digital broadcasting should include an explanation of how the equipment requested is necessary to provide the intended service.

Applicants for replacement, improvement or augmentation projects should thoroughly document the need and urgency of any equipment requested. *Applicants are encouraged to submit the following types of documentation* to support the urgency of equipment replacement: maintenance logs, letters documenting unavailability of parts, independent engineer's evaluations, photographs, or other justification.

FIVE-YEAR EQUIPMENT PLAN

(Exhibit D) ALL <u>CONSTRUCTION</u> Applicants

By statute, PTFP applicants must submit "a 5-year plan outlining the applicant's projected facilities requirements and the projected costs of such facilities requirements" [47 U.S.C. 392 (a)]. PTFP does not specify the format to be used. Applicants should use as many pages as necessary to provide an adequate response to this requirement.

MAPS/ DOCUMENTATION OF COVERAGE

(Exhibit E) REQUIRED ONLY..

(1) from applications which propose construction of a new broadcast station or distance learning facility; or

(2) from stations claiming to be a sole service station (under Priority 2), *which have significant overlap with other stations in their coverage area.*

Maps of a broadcast station's coverage area should document the number of people receiving service and should clearly identify the number of people receiving "first service" or "sole service".

In the case of distance learning applicants, information should be provided regarding the number of people to be directly served by the project.

LETTERS OF SUPPORT

(Exhibit F) APPLICANTS for new broadcast or distance learning facilities

Letters may be submitted to document community support for construction of a new facility or willingness to participate in the project.

Letters of support are NOT required for equipment replacement projects.

ASSURANCES AND CERTIFICATIONS

(Exhibit AA) ALL Applicants..

must include **signed copies** of the following:

(1) Application pages 8 & 9 (*Assurances - Non-Construction Programs, SF 424B*),

(2) Application pages 10 & 11 *(Certifications Regarding Debarment...Drug Free Workplace.. and Lobbying, CD-511*), and

(3) Application pages 12 & 13 *(Disclosure of Lobbying Activities, SF-LLL*) ONLY IF APPLICABLE.

ELIGIBILITY DOCUMENTS

(Exhibit BB) REQUIRED ONLY..

from non-profit organizations which have never received a grant from PTFP. These applicants must provide:

(1) a copy of their Articles of Incorporation as filed with the state,

(2) By-Laws, and

(3) IRS 501(c)(3) non-profit letter or other evidence of non-profit status.

DISTRIBUTION AGREEMENTS

(Exhibit CC) REQUIRED ONLY..

from applicants who are dependent on another organization to distribute programming to the service area. These usually include:

(1) cable production and radio/TV reading services when the applicant has been donated or leases a channel/frequency to distribute the programming

(2) repeater/translator stations rebroadcasting the signal of a station not owned by the applicant.

APPLICANT FOR FUNDING ASSISTANCE

(Form CD-346) PRIVATE, NON-PROFIT APPLICANTS

ONE COMPLETE SET of the CD-346 forms must be submitted by each applicant that is a private, non-profit corporation (community licensees, *private* colleges, etc.) The forms request information regarding key individuals in your organization, such as (1) each officer (chairman, president, vice-president, secretary, treasurer, etc.) (2) executive director/general manager, (3) chief fiscal officer/business manager, and (4) project director of the proposal.

The name of the individual completing the form should go in box 1 on the first page of the form. The name and address of the applicant organization goes into box 5.

CD-346 forms *do not* have to be filed by entities that are part of state or local government, including state and city universities and colleges, nor by Indian tribal governments.

FCC DOCUMENTS CONSTRUCTION applicants requiring new FCC authorizations

No grant will be awarded for a project requiring FCC authorization for construction until confirmation is received by NTIA from the FCC that the necessary authorization will be issued.

PTFP urges applicants to submit applications to the FCC as early as possible, perhaps 60 days prior to the PTFP Closing Date, especially for those authorizations requiring the FCC to place the applications on public notice. Applicants submitting copies of their applications to the FCC after the Closing Date do so at their own risk.

It is the applicant's responsibility to submit applications to the FCC so that the FCC has sufficient time to process the application and make the necessary notification to NTIA. <u>For the usual PTFP grant cycle with a closing date in winter/early spring, the final FCC notification usually takes place in mid-summer.</u>

In order for PTFP to evaluate the need for the equipment requested, copies of the following FCC applications (or equivalent engineering data) and licenses relevant to the project must be submitted ***with the PTFP application***. This includes applications for permits, construction permits and licenses already received for:

- Construction of a Broadcast Station or Translator;
- Microwave facilities (*all* locations marked to correspond with descriptions in the Narrative or other parts of this application);
- ITFS authorizations; SCA authorizations
- Requests for Extension of Time.

Multiple FCC applications/licenses should be separated by divider sheets, identified by tabs, and placed on the back panel of the application folder or as the last item in the application.

For Studio-to-Transmitter links (STLs), remote pick-up units and satellite uplinks, applicants should include in the PTFP application a copy of the FCC application ***as it will be submitted to the FCC, or the equivalent engineering data sufficient to evaluate the equipment request.***

For radio or television authorizations where the FCC limits filing of applications to a fixed period of time ("window"), you must include in your PTFP application copies of the FCC applications ***as they will be filed with the FCC*** if the PTFP Closing Date is before the FCC "window". Once a "window" is opened by the Commission, however, the FCC application must be filed promptly and PTFP must be notified of the FCC file number

NTIA makes every effort to keep itself informed of FCC developments pertinent to PTFP applications. PTFP needs to have the FCC file numbers of all pending applications related to the proposed project as soon as the number is received by the applicant. If PTFP does not have the correct file FCC number, it may not be possible to complete the necessary PTFP/FCC coordination, and NTIA would be unable to offer a grant to an otherwise worthy applicant. NTIA does not inform PTFP applicants about the status of their FCC applications. <u>Applicants should closely follow their situation at the FCC to assure that the FCC and NTIA are aware of the most recent developments concerning their FCC authorization.</u>

Be sure to file with PTFP any changes made to pending FCC applications during the time your proposal is under PTFP consideration. Also file with PTFP copies of any relevant FCC authorizations, extensions, or other FCC communications during PTFP's consideration of the proposal.

OPTIONAL EXHIBITS

You may submit additional exhibits you believe will be relevant to support the application.

PTFP will NOT accept tapes, cassettes, CD's or other multimedia.

OMB Approval No. 0348-0040

ASSURANCES - NON-CONSTRUCTION PROGRAMS

Public reporting burden for this collection of information is estimated to average 15 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0040), Washington, DC 20503.

PLEASE DO NOT RETURN YOUR COMPLETED FORM TO THE OFFICE OF MANAGEMENT AND BUDGET. SEND IT TO THE ADDRESS PROVIDED BY THE SPONSORING AGENCY.

NOTE: Certain of these assurances may not be applicable to your project or program. If you have questions, please contact the awarding agency. Further, certain Federal awarding agencies may require applicants to certify to additional assurances. If such is the case, you will be notified.

As the duly authorized representative of the applicant, I certify that the applicant:

1. Has the legal authority to apply for Federal assistance and the institutional, managerial and financial capability (including funds sufficient to pay the non-Federal share of project cost) to ensure proper planning, management and completion of the project described in this application.

2. Will give the awarding agency, the Comptroller General of the United States and, if appropriate, the State, through any authorized representative, access to and the right to examine all records, books, papers, or documents related to the award; and will establish a proper accounting system in accordance with generally accepted accounting standards or agency directives.

3. Will establish safeguards to prohibit employees from using their positions for a purpose that constitutes or presents the appearance of personal or organizational conflict of interest, or personal gain.

4. Will initiate and complete the work within the applicable time frame after receipt of approval of the awarding agency.

5. Will comply with the Intergovernmental Personnel Act of 1970 (42 U.S.C. §§4728-4763) relating to prescribed standards for merit systems for programs funded under one of the 19 statutes or regulations specified in Appendix A of OPM's Standards for a Merit System of Personnel Administration (5 C.F.R. 900, Subpart F).

6. Will comply with all Federal statutes relating to nondiscrimination. These include but are not limited to: (a) Title VI of the Civil Rights Act of 1964 (P.L. 88-352) which prohibits discrimination on the basis of race, color or national origin; (b) Title IX of the Education Amendments of 1972, as amended (20 U.S.C. §§1681-1683, and 1685-I 686), which prohibits discrimination on the basis of sex; (c) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. §794), which prohibits discrimination on the basis of handicaps; (d) the Age Discrimination Act of 1975, as amended (42 U.S.C. §§6101-6107), which prohibits discrimination on the basis of age; (e) the Drug Abuse Office and Treatment Act of 1972 (P.L. 92-255), as amended, relating to nondiscrimination on the basis of drug abuse; (f) the Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and Rehabilitation Act of 1970 (P.L. 91-616), as amended, relating to nondiscrimination on the basis of alcohol abuse or alcoholism; (g) §§523 and 527 of the Public Health Service Act of 1912 (42 U.S.C. §§290 dd-3 and 290 ee 3), as amended, relating to confidentiality of alcohol and drug abuse patient records; (h) Title VIII of the Civil Rights Act of 1968 (42 U.S.C. §§3601 et seq.), as amended, relating to nondiscrimination in the sale, rental or financing of housing; (i) any other nondiscrimination provisions in the specific statute(s) under which application for Federal assistance is being made: and, (j) the requirements of any other nondiscrimination statute(s) which may apply to the application.

7. Will comply, or has already complied, with the requirements of Titles II and III of the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (P.L. 91-646) which provide for fair and equitable treatment of persons displaced or whose property is acquired as a result of Federal or federally-assisted programs. These requirements apply to all interests in real property acquired for project purposes regardless of Federal participation in purchases.

8. Will comply, as applicable, with provisions of the Hatch Act (5 U.S.C. §§1501-1508 and 7324-7328) which limit the political activities of employees whose principal employment activities are funded in whole or in part with Federal funds.

9. Will comply, as applicable, with the provisions of the Davis-Bacon Act (40 U.S.C. §§276a to 276a-7), the Copeland Act (40 U.S.C. §276c and 18 U.S.C. §874), and the Contract Work Hours and Safety Standards Act (40 U.S.C. §§327-333), regarding labor standards for federally-assisted construction subagreements.

10. Will comply, if applicable, with flood insurance purchase requirements of Section 102(a) of the Flood Disaster Protection Act of 1973 (P.L. 93-234) which requires recipients in a special flood hazard area to participate in the program and to purchase flood insurance if the total cost of insurable construction and acquisition is $10,000 or more.

11. Will comply with environmental standards which may be prescribed pursuant to the following: (a) institution of environmental quality control measures under the National Environmental Policy Act of 1969 (P.L. 91-190) and Executive Order (EO) 11514; (b) notification of violating facilities pursuant to EO 11738; (c) protection of wetlands pursuant to EO 11990; (d) evaluation of flood hazards in floodplains in accordance with EO 11988; (e) assurance of project consistency with the approved State management program developed under the Coastal Zone Management Act of 1972 (16 USC. §§1451 et seq.); (f) conformity of Federal actions to State (Clean Air) Implementation Plans under Section 176(c) of the Clean Air Act of 1955, as amended (42 U.S.C. 557401 et seq.); (g) protection of underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended (P.L. 93-523); and, (h) protection of endangered species under the Endangered Species Act of 1973, as amended (P.L. 93-205):

12 Will comply with the Wild and Scenic Rivers Act of 1968 (16 USC. §§1271 et seq.) related to protecting components or potential components of the national wild and scenic rivers system.

13. Will assist the awarding agency in assuring compliance with Section 106 of the National Historic Preservation Act of 1966, as amended (16 U.S.C. §470), EO 11593 (identification and protection of historic properties), and the Archaeological and Historic Preservation Act of 1974 (16 U.S.C. §§469a-1 et seq.).

14. Will comply with P.L. 93-348 regarding the protection of human subjects involved in research, development, and related activities supported by this award of assistance.

15. Will comply with the Laboratory Animal Welfare Act of 1966 (P.L. 89-544, as amended, 7 U.S.C. §§2131 et seq.) pertaining to the care, handling, and treatment of warm blooded animals held for research, teaching, or other activities supported by this award of assistance.

16. Will comply with the Lead-Based Paint Poisoning Prevention Act (42 U.S.C. §§4801 et seq.) which prohibits the use of lead-based paint in construction or rehabilitation of residence structures.

17. Will cause to be performed the required financial and compliance audits in accordance with the Single Audit Act Amendments of 1996 and OMB Circular No. A-133, "Audits of States, Local Governments, and Non-Profit Organizations."

18. Will comply with all applicable requirements of all other Federal laws, executive orders, regulations, and policies governing this program.

SIGNATURE OF AUTHORIZED CERTIFYING OFFICIAL	TITLE
APPLICANT ORGANIZATION	DATE SUBMITTED

Standard Form 4248 (Rev. 7-97) Back

FORM **CD-511**
(REV 1-05)

U.S. DEPARTMENT OF COMMERCE

CERTIFICATION REGARDING LOBBYING

Applicants should also review the instructions for certification included in the regulations before completing this form. Signature on this form provides for compliance with certification requirements under 15 CFR Part 28, “New Restrictions on Lobbying.” The certifications shall be treated as a material representation of fact upon which reliance will be placed when the Department of Commerce determines to award the covered transaction, grant, or cooperative agreement.

LOBBYING

As required by Section 1352, Title 31 of the U.S. Code, and implemented at 15 CFR Part 28, for persons entering into a grant, cooperative agreement or contract over $100,000 or a loan or loan guarantee over $150,000 as defined at 15 CFR Part 28, Sections 28.105 and 28.110, the applicant certifies that to the best of his or her knowledge and belief, that:

(1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress in conncection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.

(2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL, “Disclosure Form to Report Lobbying.” in accordance with its instructions.

(3) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly.

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than $10,000 and not more than $100,000 for each such failure occurring on or before October 23, 1996, and of not less than $11,000 and not more than $110,000 for each such failure occurring after October 23, 1996.

Statement for Loan Guarantees and Loan Insurance

The undersigned states, to the best of his or her knowledge and belief, that:

In any funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this commitment providing for the United States to insure or guarantee a loan, the undersigned shall complete and submit Standard Form-LLL, ‘‘Disclosure Form to Report Lobbying,’’ in accordance with its instructions.

Submission of this statement is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required statement shall be subject to a civil penalty of not less than $10,000 and not more than $100,000 for each such failure occurring on or before October 23, 1996, and of not less than $11,000 and not more than $110,000 for each such failure occurring after October 23, 1996.

As the duly authorized representative of the applicant, I hereby certify that the applicant will comply with the above applicable certification.

NAME OF APPLICANT	AWARD NUMBER AND/OR PROJECT NAME

PRINTED NAME AND TITLE OF AUTHORIZED REPRESENTATIVE

SIGNATURE	DATE

DISCLOSURE OF LOBBYING ACTIVITIES

Complete this form to disclose lobbying activities pursuant to 31 U.S.C. 1352
(See reverse for public burden disclosure.)

Approved by OMB
0348-0046

1. Type of Federal Action:	**2. Status of Federal Action:**	**3. Report Type:**
☐ a. contract b. grant c. cooperative agreement d. loan e. loan guarantee f. loan insurance	☐ a. bid/offer/application b. initial award c. post-award	☐ a. initial filing b. material change **For Material Change Only:** year _________ quarter _________ date of last report _______________

4. Name and Address of Reporting Entity: ☐ **Prime** ☐ **Subawardee** Tier ______, *if known*: **Congressional District**, *if known*: 4c	**5. If Reporting Entity in No. 4 is a Subawardee, Enter Name and Address of Prime:** **Congressional District**, *if known*:
6. Federal Department/Agency:	**7. Federal Program Name/Description:** CFDA Number, *if applicable*: _____________
8. Federal Action Number, *if known*:	**9. Award Amount,** *if known*: $
10. a. Name and Address of Lobbying Registrant (*if individual, last name, first name, MI*):	**b. Individuals Performing Services** (*including address if different from No. 10a*) (*last name, first name, MI*):
11. Information requested through this form is authorized by title 31 U.S.C. section 1352. This disclosure of lobbying activities is a material representation of fact upon which reliance was placed by the tier above when this transaction was made or entered into. This disclosure is required pursuant to 31 U.S.C. 1352. This information will be available for public inspection. Any person who fails to file the required disclosure shall be subject to a civil penalty of not less than $10,000 and not more than $100,000 for each such failure.	Signature: ______________________ Print Name: ______________________ Title: ______________________ Telephone No.: ______________________ Date: __________

Federal Use Only:	Authorized for Local Reproduction Standard Form LLL (Rev. 7-97)

INSTRUCTIONS FOR COMPLETION OF SF-LLL, DISCLOSURE OF LOBBYING ACTIVITIES

This disclosure form shall be completed by the reporting entity, whether subawardee or prime Federal recipient, at the initiation or receipt of a covered Federal action, or a material change to a previous filing, pursuant to title 31 U.S.C. section 1352. The filing of a form is required for each payment or agreement to make payment to any lobbying entity for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with a covered Federal action. Complete all items that apply for both the initial filing and material change report. Refer to the implementing guidance published by the Office of Management and Budget for additional information.

1. Identify the type of covered Federal action for which lobbying activity is and/or has been secured to influence the outcome of a covered Federal action.

2. Identify the status of the covered Federal action.

3. Identify the appropriate classification of this report. If this is a followup report caused by a material change to the information previously reported, enter the year and quarter in which the change occurred. Enter the date of the last previously submitted report by this reporting entity for this covered Federal action.

4. Enter the full name, address, city, State and zip code of the reporting entity. Include Congressional District, if known. Check the appropriate classification of the reporting entity that designates if it is, or expects to be, a prime or subaward recipient. Identify the tier of the subawardee, e.g., the first subawardee of the prime is the 1st tier. Subawards include but are not limited to subcontracts, subgrants and contract awards under grants.

5. If the organization filing the report in item 4 checks "Subawardee," then enter the full name, address, city, State and zip code of the prime Federal recipient. Include Congressional District, if known.

6. Enter the name of the Federal agency making the award or loan commitment. Include at least one organizationallevel below agency name, if known. For example, Department of Transportation, United States Coast Guard.

7. Enter the Federal program name or description for the covered Federal action (item 1). If known, enter the full Catalog of Federal Domestic Assistance (CFDA) number for grants, cooperative agreements, loans, and loan commitments.

8. Enter the most appropriate Federal identifying number available for the Federal action identified in item 1 (e.g., Request for Proposal (RFP) number; Invitation for Bid (IFB) number; grant announcement number; the contract, grant, or loan award number; the application/proposal control number assigned by the Federal agency). Include prefixes, e.g., "RFP-DE-90-001."

9. For a covered Federal action where there has been an award or loan commitment by the Federal agency, enter the Federal amount of the award/loan commitment for the prime entity identified in item 4 or 5.

10. (a) Enter the full name, address, city, State and zip code of the lobbying registrant under the Lobbying Disclosure Act of 1995 engaged by the reporting entity identified in item 4 to influence the covered Federal action.

    (b) Enter the full names of the individual(s) performing services, and include full address if different from 10 (a). Enter Last Name, First Name, and Middle Initial (MI).

11. The certifying official shall sign and date the form, print his/her name, title, and telephone number.

OMB Approval No. 0605-0001 Expires 08-06

FORM **CD-346**
(REV. 08-03)
DAO 207-10

U.S. DEPARTMENT OF COMMERCE

APPLICANT FOR FUNDING ASSISTANCE

DO NOT COMPLETE THIS SECTION
DATE OF REQUEST
☐ NAME CHECK ☐ IDENTIFICATION CHECK

INSTRUCTIONS: Please type or print clearly. Information below will be used for investigation of named person's or firm's character and/or integrity. In answer to question 11 below, the fact that you may have a conviction record or have cirminal charges pending against you will not necessarily disqualify you. An incorrect answer may cause your application to be turned down. Please read Privacy Act Advisory Statement on reverse of form.

1. NAME OF APPLICANT *(If no middle name use (NMN). Also list former names used).*

LAST FIRST MIDDLE MAIDEN

SPOUSE

5. NAME AND ADDRESS OF FIRM *(Post Office Box is not sufficient)*

6. PHONE NUMBER OF FIRM

7. REGIONAL OFFICE

2. DATE OF BIRTH

3. SOCIAL SECURITY NUMBER *(Voluntary)*

4. PLACE OF BIRTH

8. U.S. CITIZEN?

☐ YES ☐ NO *(If no, give alien registration number)*

9. EMPLOYMENT *(Last 3 years)*

FROM TO EMPLOYER NAME AND COMPLETE ADDRESS

10. RESIDENCE *(Last 3 years)*

FROM TO COMPLETE ADDRESS

11. HAVE YOU EVER BEEN CONVICTED OF A CRIMINAL OFFENSE OR ARE CRIMINAL CHARGES PENDING AGAINST YOU? *(You may omit minor traffic violations for which you forfeited $50.00 or less).*

☐ YES ☐ NO *(If yes, please furnish details on the reverse side of this form).*

12. RESULTS OF CHECK *(Government Use Only)*

With knowledge of 18 U.S.C. 1001 and 42 U.S.C. 3220 which provide for criminal penalties for the making of false statements, the undersigned hereby certifies that the above information is correct.

SIGNATURE	DATE

FORM **CD-346**
(REV. 08-03)
DAO 207-10

PRIVACY ACT ADVISORY STATEMENT

The Privacy Act of 1974 (P.L. 93-479) requires that you be given certain information in connection with: (a) ☐ The request for information solicited on Form CD-346; or (b) ☐ The request for your Social Security Number. Accordingly, pursuant to the requirements of the Act, please be advised:

THE AUTHORITY FOR THE COLLECTION OF THIS DATA IS: 42 USC 3211(12); as well as the responsibilities cited in the Inspector General Act of 1978, Sec. 4(a)(3)	THE PRINCIPAL PURPOSE(S) FOR WHICH THE DATA WILL BE USED IS: Information is used to establish good character of principal officers and employees of organizations, firms or recipients or beneficiaries of grants, loans, or loan guarantee programs that may receive grants, loans, or guarantees from the U.S. Department of Commerce.
YOUR SOCIAL SECURITY NUMBER IS VOLUNTARY DATA, BUT PROVIDING YOUR SOCIAL SECURITY NUMBER MAY REDUCE DELAYS IN THE REVIEW PROCESS.	

QUESTION 11 CONTINUATION:

PREFATORY STATEMENT OF GENERAL ROUTINE USES

The following routine uses apply to, and are incorporated by reference into, each system of records set forth below:

1. In the event that a system of records maintained by the department to carry out its functions indicates a violation or potential violation of law or contract, whether civil, criminal or regulatory in nature, and whether arising by general statute or particular program statute or contract, or rule, regulation, or order issued pursuant thereto, or the necessity to protect an interest of the Department, the relevant records in the system of records may be referred, as a routine use, to the appropriate agency, whether federal, state, local or foreign, charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute or contract, or rule, regulation or order issued pursuant thereto, or protecting the interest of the Department.
2. A record from this system of records may be disclosed, as a routine use, to a Federal, state or local agency maintaining civil, criminal or other relevant enforcement information or other pertinent information, such as current licenses if necessary to obtain information relevant to a Department decision concerning the hiring or retention of an individual, the issuance of a security clearance, the letting of a contract, or the issuance of a license, grant or other benefit.
3. A record from this system may be disclosed, as a routine use, to a Federal, state, or local, or international agency, in response to its request, in connection with the assignment, hiring or retention of an individual, the issuance of a security clearance, the reporting of an investigation of an individual, the letting of a contract, or the issuance of a license, grant, or other benefit by the requesting agency, to the extent that the information is relevant and necessary to the requesting agency's decision on the matter.
4. A record from this system of records may be disclosed, as a routine use in the course of presenting evidence to acourt, magistrate or administrative tribunal, including disclosures to opposing counsel in the course of settlement negotiations.
5. A record in this system of records may be disclosed, as a routine use, to a Member of Congress submitting a request involving an individual when the individual has requested assistance from the Member with resepct to the subject matter of the record.
6. A record in this system of records which contains medical information may be disclosed, as a routine use, to the medical advisor of any individual submitting a request for access to the record under the Act and 15 CFR Part 4b if, in the sole judgement of the Department, disclosure could have an adverse effect upon the individual, under the provision of 5 U.S.C. 552a(f) (3) and implementing regulations at 15 CFR 4b.6.
7. Deleted, Reserved.
8. A record in this system of records may be disclosed, as a routine use, to the Office of Managmenet and Budget in connection with the review of private relief legislation as set forth in OMB Circular No. A-19 at any state of the legislative coordination and clearance process as set forth in that Circular.
9. A record in this system may be disclosed, as a routine use, to the Department of Justice in connection with determining whether disclosure thereof is required by the Freedom of Information Act 5 U.S.C. 552.
10. A record from this system of records may be disclosed, as a routine use, to a contractor of the Deapartment having need for the information in the performance of the contract, but not operating a system of records within the meaning of 5 U.S.C. 552a(m).
11. Deleted, Reserved.
12. A record in this system may be transferred, as a routine use, to the Office of Personnel Management for personnel research purposes; as a data source for management information; for the production of summary descriptive statistics and analytical studies in support of the function for which the records are collected and maintained; or for related man-power studies.
13. A record in this system of records may be disclosed, as a routine use, to the Archivist of the United States, National Archives & Records Administration (NARA), or his designee, during an inspection of records conducted by NARA as part of that agency's responsibility to recommend improvements in records management practices and programs, under authority of 44 U.S.C. 2904 and 2906. Such disclosure shall be made in accordance with the NARA regulations governing inspection of records for this purpose, and other relevant (i.e., NARA or Commerce) directive. Such disclosure shall not be used to make determinations about individuals.

Notwithstanding any other provision of the law, no person is required to respond to, nor shall any person be subject to a penalty for failure to comply with, a collection of information subject to the requirements of the Paperwork Reduction Act, unless that collection of information displays a currently valid OMB Control Number.

The public reporting burden for this collection is estimated to average 15 minutes per response including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden to: Office of Inspector General, Department of Commerce, 1401 Constitution Avenue, NW, Washington, DC 20230.